



metra



**49 CFR 240
LOCOMOTIVE ENGINEER
CERTIFICATION SUBMISSION**

**TRAINING AND CERTIFICATION DEPARTMENT
ENGINEER CERTIFICATION
547 W. Jackson Boulevard—14W
Chicago, IL 60661
Revised March 9, 2015**

**METRA COMMUTER RAILROAD
LOCOMOTIVE ENGINEER CERTIFICATION**

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SECTION 1 - GENERAL INFORMATION

Northeast Illinois Regional Commuter Railroad Corporation (Metra) designates the following officer as administrator for all matters relating to 49 CFR Part 240, Locomotive Engineer Certification:

Robert J. Tague
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Metra
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A. Engineer Training & Certification - 49 CFR Part 240.103(b)(1):

Metra trains and certifies new locomotive engineers not previously certified, utilizing the program outlined in Section 5 of this document. Metra also trains and certifies engineers that have been previously certified by another railroad through the program outlined in Section 3 of this document.

B. Classes of Service - 49 CFR Part 240.107(b)

Locomotive engineers must be properly certified in order to operate a locomotive. Engineers must have the appropriate license in their possession while operating and must display that license when requested by a company officer or FRA representative. Metra certifies the following classes of service:

1. **Train Service Engineers** - may operate locomotives singly or in multiples with or without cars coupled to them in yard or road service.
2. **Student Engineers** - may operate locomotives only under close supervision of a certified train service engineer or certified locomotive servicing engineer and will be governed by the limitations of the specific class of service.
3. **Restricted Train Service Engineers** - may operate locomotives singly or in multiples with not more than 2 flat cars coupled to them with speed not exceeding 5 mph. Operation cannot include moving passenger equipment.
4. **Locomotive Servicing Engineers** - may operate locomotives within a yard or terminal area for hosting purposes. They may not move with cars coupled to the locomotive(s).

SECTION 2 - SELECTION OF SUPERVISOR OF LOCOMOTIVE ENGINEERS (49 CFR Part 240.105)

Contact: Robert J. Tague
Director of Training and Certification

A. Supervisor of Locomotive Engineers

Metra will select a Supervisor of Locomotive Engineers based on the following criteria:

1. Certified Locomotive Engineer for a minimum of five years.
2. Must have an employment record free of operating rules violations and decertification issues for a period of five years.
3. Has the expertise to test and evaluate the knowledge, skill and ability of individuals being certified or re-certified as Locomotive Engineers.
4. Must have experience in training Locomotive Engineers and have the ability to identify the need for and provide remedial training. Must have the ability to train and evaluate engineers on the required skills, knowledge and ability.
5. Has a thorough knowledge and experience in application of operating rules and special instructions. The Supervisor of Locomotive Engineers must demonstrate strong abilities to evaluate and train as documented by his/her scores on recorded examinations.

The SLE will be selected by the Director of Training and Certification with the concurrence of the Senior Director of Training and Certification.

B. Assistant Supervisors and District Supervisors of Locomotive Engineers

Metra will select individuals from its ranks of locomotive engineers, or fully qualified engineers employed from other railroads, which will assist in the training, certification and re-certification of engineers. They shall be designated as Assistant Supervisors of Locomotive Engineers (ASLE).

These individuals will be selected based on the following criteria:

1. Certified Locomotive Engineer for a minimum of four years.
2. Must have an employment record free of operating rules violations and decertification issues for a period of four years.
3. Has the expertise to test and evaluate the knowledge, skill and ability of individuals being certified or re-certified as Locomotive Engineers.
4. Must have experience in training Locomotive Engineers and have the ability to identify the need for and provide remedial training. Must have the ability to train and evaluate engineers on the required skills, knowledge and ability.

5. Has a thorough knowledge and experience in application of operating rules and special instructions. The Supervisor of Locomotive Engineers must demonstrate strong abilities to evaluate and train as documented by his/her scores on recorded examinations.

Metra will select properly qualified engineers, from each operating district as District Supervisors of Locomotive Engineers (DSLE). They will assist the Supervisor of Locomotive Engineers and the Assistant Supervisors on their respective districts.

C. Qualification of Supervisor and Assistant Supervisors of Locomotive Engineers

The Supervisor of Locomotive Engineers and the Assistant Supervisors will be required to make a sufficient number of trips over each district to effectively instruct and evaluate the engineers to be qualified on those districts. They must also pass a written test on the operating instructions and physical characteristics of the districts (i.e. track speeds; methods of operation; timetable special instructions; unique peculiarities of that territory; etc.) If they have not performed duty on a particular district within a 90 day period, they must re-qualify on the district. The re-qualification process will require a minimum of one round trip over the district.

The SLE and ASLE's will also be required to maintain their engineer certification as outlined in Sections 3 and 4 of the certification program.

SECTION 3 - TRAINING ENGINEERS PREVIOUSLY CERTIFIED (49 CFR Part 240.123)

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Previously certified locomotive engineers are defined by Metra as:

- Current engineers and engineers previously certified by Metra.
- Engineers hired by Metra after being certified by another railroad.

The training for each of these two groups differs in content and duration.

A. Engineers Certified by Metra

Metra engineers directly operate trains over seven mainline segments of railroad and three secondary segments. Metra engineers must maintain knowledge of the district(s) over which they operate, and must have performed service within a 90 day period over those district(s) to remain qualified. If the 90-day period has lapsed, the engineer must make a minimum of one round trip over the district(s) with a engineer qualified on that district. Annually an observational monitoring ride will be conducted by the District Supervisor of Locomotive Engineers, the Supervisor of Locomotive Engineers or the Assistant Supervisor of Locomotive Engineers. Engineer's will also be tested on the district's special instructions and physical characteristics, and must score at least 85% to achieve qualification. In situations where engineers move from districts operating with diesel powered equipment to one operating with Electric MU equipment (or vice versa), mechanical testing will be included for re-qualification.

B. Previously Certified Engineers with Lapsed Certification

Previously certified Metra engineers, who have had their certification lapse, will be required to satisfy all the steps required for certification. Following the applicable prior safety conduct evaluations and hearing and visual acuity examination (prescribed by Regulations 49 CFR Parts 240.115, 240.117, 240.119 and 240.121), the individual will be issued a student license. The individual will then be required to complete a period of on-the-job training and territorial familiarization. The length of this training will be based on the evaluation of the Supervisor of Locomotive Engineers, with concurrence of the Director of Training and Certification, taking into account the individual's past operating experience and the unique characteristics of the territory in which the individual will operate. At the completion of this training the individual will be tested according to the procedures specified in Sections 3 and 4 of the certification program and will be issued a license for the appropriate class of service that individual will be expected to perform.

SECTION 3 - continued

C. Engineers Previously Certified by another Railroad (20 Week Training Program)

Engineers hired by Metra and previously certified by another railroad will be required to satisfy all the components required for certification (see Section 4-A, 4-B & 4-C). Following the applicable prior safety conduct evaluations and hearing and visual acuity examination (prescribed by Regulations 49 CFR Parts 240.115, 240.117, 240.119 and 240.121), the individual will be issued a student license. At the completion of the training the individual will be tested according to the procedures specified in Sections 3 and 4 of the certification program and will be issued a license for the appropriate class of service that individual will be expected to perform.

The engineer will complete a 20-week training program, which consists of 5-weeks of training under the supervision of the Supervisor of Locomotive Engineers and Assistant Supervisors of Locomotive Engineers. The 5 week period will be divided into three phases: classroom, simulator operations and field training. The remaining 15-weeks of on-the-job training will be with selected training engineers on various road and yard assignments. Students will be assessed at the end of the 20-week training program detailed below: Metra's Locomotive Engineer Training Program begins with a candidate orientation on the rules and requirements of the program, as well as an in-depth examination of 49 CFR 240 and its relevance to locomotive engineers.

- 1.** The candidates will spend the initial 2 weeks in the classroom covering safety topics, the General Code of Operating Rules and mechanical components of locomotives and cars. Classroom lectures will be augmented by audio visual presentations and support materials such as manuals and study guides. Strong emphasis will be placed on knowledge of the physical characteristics of Metra emphasizing safe train operation. Mechanical training will consist of both classroom and field sessions at locomotive and car shops for hands-on experience with the equipment. Mechanical training will include air brakes and brake test regulations, mechanical components of the Diesel and Electric Multiple Unit (EMU) locomotives, as well as inspection and troubleshooting.

The Engineer Training staff will coordinate with other departments to schedule field trips and presentations on topics such as signal systems, trackage, physical plants and dispatching. The goal will be to make the candidate aware of the interconnection of various departments in the day-to-day operation of the railroad.

- 2.** The candidates' progress through the classroom phase of the program will be monitored through weekly testing. An 85% passing grade is required for each test. Candidates will be allowed one retest per module. Failure to pass a module on second attempt will result in termination from the program.

The classroom phase will include a day of review and the Final Mechanical Examination. A passing grade of 85% must be achieved on the examination. Candidates will be allowed one retest. Failure to pass an examination on second attempt will result in termination from the program.

SECTION 3 - continued

3. A review and the General Code of Operating Rules (GCOR) and a initial GCOR examination will follow the end of the first 2 weeks. A passing grade of 85% is required before the candidate moves on to the next phase of the program. Candidates will be allowed one retest within 5 days. Students who fail to pass on second attempt will be terminated from the program.
4. Upon successful completion of the classroom instructions, the candidates will begin 2 weeks of Simulator training on a Type II simulator under the direct supervision of the Simulator Manager. Prior to simulator training the candidates will participate in an orientation session relating to the location of the control components in the operating cab(s), graphical displays and operating procedures through the use of the simulators. The Candidate will learn proper techniques on how to set up equipment, the use of air brakes and a condensed version of mechanical troubleshooting.
5. Upon completion of the simulator training, the candidates will begin 1 week of operating locomotives and trains under the direct supervision of the Supervisor of Locomotive Engineers and/or Assistant Supervisor of Locomotive Engineers. Practical experience will be accomplished through operation of non-revenue trains.
6. The 15-week phase of on-the-job training which includes at least 2 weeks of initial training under a single Engineer Trainer, followed by training on various assignments with other Engineer Trainers on the district. The remaining time will include miscellaneous yard assignments and train service on other sub-districts.
7. During this 15-week phase of on-the-job training a mid-term skills performance test will be conducted in the seventh week by Supervisor of Locomotive Engineers (SLE) and District Supervisor of Locomotive Engineers (DSLE) and a simulator review will be conducted by the Simulator Manager. This mid-term skills performance test must be passed with a 85% pass/fail standard. Failure to pass mid-term skills performance test on the first attempt will require a retest within 5 days. Failure to pass on the second attempt will result in termination from the program.

Upon completion of the 15 weeks of on-the-job training a final skills performance test will be performed by the SLE and assisted by an ASLE or DSLE. Failure to pass the final skills performance test on the first attempt will require a retest within 5 days. Failure on the second attempt will result in termination from the program. However, if candidate engineer previously failed the mid-term test on the first attempt, he/she will be allowed only a single attempt to pass the final exam.

SECTION 4 - TESTING AND EVALUATING ENGINEERS PREVIOUSLY CERTIFIED

Contact: Michael D. Kubiak

A. Locomotive Engineer Knowledge Testing (49 CFR Part 240.125)

The overall Knowledge Testing examination will consist of five modules with a required 85% passing grade for each test. The following subjects will be tested every 3 years, with exception of Operating Rules, which will be tested annually.

The examination will consist of the following modules:

1. **Rules (Operating)** - This module consists of a closed book, multiple choice examination (tested annually).
2. **Rules (Safety)** - This module consists of multiple choice questions which are specific to Locomotive Engineer safety.
3. **Physical Characteristics and Special Instructions** - This module consists of multiple choice questions unique to the segment of railroad on which the engineer is being certified to operate.
4. **Applicable FRA Safety Rules** - This module consists of multiple choice questions on FRA Safety Rules, including: Locomotive Inspection, Hours of Service, Drug and Alcohol Testing, Power Brake, Blue Signal Rules, Passenger Train Emergency Preparedness and Passenger Rail Equipment Safety Standards.
5. **Machinery/Air (Equipment - Upgrades to Technology)** - This module consists of multiple choice questions in relation to the types of diesel locomotives used in passenger and yard service. A separate examination of questions specific to the Electric District Highliner equipment is substituted for those operating MU equipment.

Failure to attain a passing standard will result in the ineligibility of the person to perform the duties as a locomotive engineer for a five day period, at which time he/she will be re-examined. Failure to pass on a second attempt will result in the ineligibility of the person to perform the duties as a locomotive engineer for an additional 15 days.

During this fifteen day interval remedial training will be provided to the engineer. Failure to pass the examination on the third attempt will result in the ineligibility of the person to perform the duties as a locomotive engineer until the individual satisfactorily passes an examination which will be arranged at Metra's discretion and may result in denial of locomotive engineer certification.

The engineers will be relieved of their regular assignments so the entire day can be dedicated to testing. The re-certification class, consisting of a lecture session, the written examination and simulator operation on a Type II simulator will take approximately six hours. The lecture session is designed to encourage discussion of any rule in question.

SECTION 4 - continued

B. Skills Performance Testing of Train Service Engineers (49 CFR Part 240.127)

A Skills Performance Test required through 49 CFR Part 240.127 will address any deficiencies in the engineer's train handling skills to be corrected during skills testing and re-certification.

Skills Performance Testing will be done every 3 years to include all phases of Train Service Engineer responsibilities. Failure to pass the Skills Performance Evaluation will result in a five-day period of ineligibility to perform duties as a locomotive engineer. Remedial training will be furnished to the Engineer who will then be reevaluated on his/her performance.

Failure to pass the Skills Performance Evaluation on the second attempt shall result in an additional 15 day period of ineligibility to perform duties as a locomotive engineer and denial of certification in accordance with 49 CFR part 240.219. During the 15 day period, the Supervisor of Locomotive Engineers shall provide any remedial training necessary for the engineer to be re-certified. Metra will perform all Skills Performance Evaluations through the on-board evaluation, but reserves the right to use a simulator. The passing standard for the Skills Performance Evaluation is 85%. Any violations of 49 CFR Part 240.117 during the Skills Performance Evaluation will result in the engineer's decertification.

Scoring System (49 CFR Part 240.127(f))

On Metra's Train Engineer Skills Performance Test form, scoring is broken down in five sections. Any "NO" marks in Sections 2(B), 2(C), 2(D), 4(B) or 5 constitute a failure of the test.

1. **Failure to adhere to procedures for the safe use of train or engine brakes (2(B), (C) and (D)).**
2. **Speed requirements and Signal compliance (4(B)).**
3. **Mandatory Directives (5).**

C. Vision and Hearing Acuity Testing - Train Engineers (49 CFR Part 240.207)

Locomotive Engineers over 55 years of age will receive an annual physical examination. Those under 55 will receive a biennial physical examination to include vision and hearing acuity. Any engineer falling below the acceptable level of vision and/or hearing acuity shall be subject to an evaluation by the Metra's Medical Review Officer (MRO) to determine if the engineer can safely operate a locomotive.

All Engineers who fail screening test are subject to evaluations by board certified specialists in ophthalmology or ear, nose and throat. In addition, a field test may be used as part of the certification process in cases of decreased color perception.

Upon the determination by the MRO that the deficiency is not correctable to allow safe operation of a locomotive, the person will be ineligible to perform duties as a locomotive engineer and the engineer's license may be denied. If the engineer's visual or hearing acuity can be corrected to acceptable levels, the word "corrected" will be noted on the engineer's license. The engineer must utilize these corrective devices while on duty to retain certification.

SECTION 4 - continued

D. Knowledge Testing of Locomotive Servicing Engineers and Restricted Train Service Engineers (49 CFR Part 240.125)

Locomotive Servicing Engineers and Restricted Train Service Engineers will be certified every 3 years. Their examination includes two multiple choice sections, each with an 85% passing grade standard:

1. Hostlers Operating Rule Book
2. Mechanical System/ Basic Air

E. Skills Performance Testing - Locomotive Servicing Engineers and Restricted Train Service Engineers (49 CFR Part 240.127)

Skills performance testing will be done every 3 years for Locomotive Servicing Engineers and Restricted Train Service Engineers. The same skills test scoring system as for Train Service Engineers applies to Locomotive Servicing Engineers and Restricted Train Service Engineers.

F. Vision and Hearing Acuity Testing - Locomotive Servicing Engineers and Restricted Train Service Engineers (49 CFR Part 240.207)

Locomotive Servicing Engineers and Restricted Train Service Engineers undergo vision and hearing acuity testing on a triennial basis.

SECTION 5 - TRAINING, TESTING AND EVALUATING PERSONS NOT PREVIOUSLY CERTIFIED - STUDENT ENGINEERS

Contact: Robert J. Tague

Persons not previously certified as Locomotive Engineers will become certified by successfully completing Metra's Locomotive Engineer Training Program and will be referred to as Candidate or Student Engineers. This category includes individuals with prior operating experience in train service.

Persons not previously certified as Servicing Engineers will become certified after successfully completing the Locomotive Servicing Engineer Program as outlined in Part C, below. Candidate Servicing Engineers will be issued a Student Engineer's License to enable training under the supervision of certified servicing engineers.

A. Procedures for Determining Eligibility (49 CFR Part 240.205)

Candidate eligibility will be determined by a review of prior safety conduct, plus hearing and visual acuity examinations in accord with 49 CFR Parts (240.115, 240.117, 240.119 and 240.121). Upon successful completion of these items, the candidate will be issued a student license. At the completion of the training the individual will be tested according to the procedures specified in Sections 3 and 4 of the certification program and will be issued a license for the appropriate class of service that individual will be expected to perform.

B. Locomotive Engineer Training

The Student Engineer is required to complete a 40-week training program, which consists of 15 weeks of training under the supervision of the Supervisor of Locomotive Engineers and Assistant Supervisors of Locomotive Engineers. The 15 week period will be divided into three phases: classroom, simulator operations and field training. The remaining 25 weeks of on-the-job training will be with selected training engineers on various road and yard assignments. Students will be assessed at the end of the 40-week training program.

Metra's Locomotive Engineer Training Program begins with candidate orientation on the rules and requirements of the program, as well as an in-depth examination of 49 CFR Part 240 and its relevance to locomotive engineers.

1. The candidates will spend the initial 7-weeks in the classroom covering safety topics, the General Code of Operating Rules and mechanical components of locomotives and cars. Classroom lectures will be augmented by audio visual presentations and support materials such as manuals and study guides. Strong emphasis will be placed on knowledge of the physical characteristics of Metra with regards to the safe operation of trains. Rules instruction will take place during this 7-week period. Mechanical training will consist of classroom, and field sessions at a locomotive and car shop for hands-on experience with the equipment. Mechanical training will include air brakes and brake test regulations, mechanical components of the Diesel and Electric Multiple Unit (EMU) locomotives, as well as inspection and troubleshooting.

Section 5 - continued

2. The Engineer Training staff will coordinate with other departments to schedule field trips and presentations on topics such as signal systems, trackage, physical plants and dispatching. The goal will be to make the candidate aware of the interconnection of various departments in the day-to-day operation of the railroad.
3. The candidates' progress through the classroom phase of the program will be monitored through periodic testing. An 85% passing grade is required for each test. Candidates will be allowed one retest per module. Failure to pass a module on second attempt will result in termination from the program.
4. A week of review and the General Code of Rules final examination plus the Final Mechanical Examination will follow the end of the first 7 weeks. A passing grade of 85% must be achieved on the examination before the candidate moves on to the next phase of the program. Candidates will be allowed one retest within 5 days. Failure to pass examination on the second attempt will result in termination from the program.
5. Upon completion of the classroom instructions, the candidates will begin 4 weeks of Simulator training on a Type II simulator under the direct supervision of the Simulator Manager. Prior to simulator training the candidates will participate in an orientation session relating to the location of the control components in the operating cab(s), graphical displays and operating procedures through the use of the simulators. The Candidate will learn proper techniques on how to set up equipment, the use of air brakes and a condensed version of mechanical troubleshooting.
6. Upon completion of the simulator training, the candidates will begin 4 weeks of hands-on operation of locomotives and trains under supervision of the Supervisor of Locomotive Engineers and Assistant Supervisor of Locomotive Engineers. The first 2 weeks will be spent with lite engine movements and switch engines, with and without cars, to familiarize the trainees with operational procedures and techniques.
7. The next 2 weeks will have the candidates training hands-on with suburban passenger equipment under the direct supervision of the SLE and ASLE's. Hands-on experience will be accomplished with operation of non-revenue equipment trains.
8. During the thirteenth week of on-the-job training a mid-term skills performance test will be performed by Supervisor of Locomotive Engineers and District Supervisors of Locomotive Engineers and a simulator review will be conducted by the Simulator Manager. Mid-term skills performance test must be passed with a 85% pass/fail standard. Failure to pass the mid-term skills performance test on the first attempt will require a retest within 5 days. Failure to pass on the second attempt will result in termination from the program.

Section 5 - continued

9. The final phase of the training program is 25 weeks of hands-on operation of Metra train assignments under the supervision of certified locomotive engineers. The first 3 weeks will be spent with selected "Engineer Trainers" who have received additional instruction on training techniques. The remaining 22 weeks will be spent with various engineers in suburban service.
10. The SLE and ASLE's will monitor the candidates' progress during this period through the engineers' evaluation reports and field monitoring. Upon completion of the 25 weeks of training a final skills performance test will be performed by the SLE and assisted by an ASLE or DSLE. The passing standard for the Skills Performance Evaluation is 85%. Failure to pass the final skills performance test on the first attempt will require a retest within 5 days. However, if candidate engineer had previously failed the mid-term skills performance test, he/she will be terminated from the program.
11. The Candidate Engineer will be required to take a final rules exam, requiring a passing score of 85%. The exam will consist of the General Code of Operating Rules, a certification exam that covers safety, physical characteristics, mechanical basics and the Code of Federal Regulations regarding engineer certification. Failure to pass on first attempt will require a retest. Failure to pass on second attempt will result in termination from the program.

C. Locomotive Servicing Engineers and Restricted Train Service Engineers

Candidate Locomotive Servicing Engineers and Restricted Train Service Engineers are trained on the type of equipment (diesel or electric) they will be operating. Candidate Locomotive Servicing Engineers and Restricted Train Service Engineers are not qualified for main track operation. Candidate Locomotive Servicing Engineers and Restricted Train Service Engineers are furnished study guides for all modules of knowledge testing. The candidates are provided a one day session consisting of preparatory review and knowledge examination.

Because the nature of operations are similar, (i.e. movement of multiple locomotives or a locomotive with no more than two cars) the training will be identical. On-the-job training consists of 15 days operating under the supervision of a certified Locomotive Servicing Engineer or Restricted Train Service Engineer. During this 15 day training period, Candidate Locomotive Servicing Engineers or Restricted Train Service Engineers will be issued a Student Engineer's license. At the end of this 15 day period a Skills Performance Test will be administered by the SLE or ASLE.

The passing standard for Candidate Locomotive Servicing Engineers and Restricted Train Service Engineers will be 85% on all modules. Failure to pass the knowledge testing on the first attempt will require a retake of the module(s) failed within five days. Failure to pass the knowledge testing on the second attempt will result in the candidate's termination from the program.

SECTION 5 – continued

Failure to pass the skills test with an 85% passing standard will require the Candidate Locomotive Servicing Engineer or Restricted Train Service Engineer to continue on-the-job training for an additional period, not to exceed seven days, at which time the SLE or ASLE will conduct a second test. Failure to pass the second skills test will result in the candidate's termination from the program.

Any violation of (49 CFR Part 240.117) constitutes a failure of the skills performance test regardless of the test score.

D. Pilots Who Are Not Certified Engineers

Due to Metra's operations being primarily passenger service, Metra will not use individuals other than certified engineers as pilots, for the purpose of piloting other locomotive engineers. Metra will not qualify individuals for this purpose.

SECTION 6 – MONITORING OPERATIONAL PERFORMANCE OF CERTIFIED ENGINEERS

Contact: Michael D. Kubiak

A. Monitoring Operational Performance (49 CFR Part 240.129)

Metra will perform annual performance monitoring of its certified employees in accordance with the following:

1. Annual Observation

Each certified Locomotive Engineer will be monitored by the Supervisor of Locomotive Engineers or other designated supervisors (ASLE or DSLE), for a minimum of one trip, or a sufficient distance of 20 miles, or a reasonable time of 30 minutes to effectively evaluate the person's ability to operate trains.

The results of the observation trip will be recorded on an Operational Monitoring Performance card, which will be placed in the respective engineer's file within 30 days. The engineer's file will be maintained in the office of the Director of Training and Certification.

Train Ride

Performance skills of the engineer will be examined while at the controls of the type of train in the most demanding class of service he or she will be required to operate. The engineer will be observed to ensure adherence to all Train handling, Operating, Federal Safety and Railroad Safety Rules. The supervisor must inform the engineer of his/her overall performance and explain any corrective action needed to correct deficiencies. The monitoring trip form must be dated and signed by the supervisor.

2. Unannounced Operating Rules Compliance Test

The required unannounced operating rules compliance tests will be administered through Metra's Operational Testing Program on file with the FRA. Locomotive Engineers will be given at least one unannounced operations test annually.

Efficiency tests will be conducted in a manner where, the engineer will be placed under the most restrictive condition which can be displayed. Failures will be handled through Metra's disciplinary process. In addition, those items covered in 49 CFR Part 240.117 will result in the suspension of the engineer's license and subsequent revocation, if confirmed by a hearing, or waiver of a hearing.

All test results will be maintained through electronic or written records. Documentation regarding test results and information regarding corrective action will be maintained in the individual's certification file in the office of the Director of Training and Certification.

Section 6 – continued

Servicing Engineers and Restricted Train Service Engineers will be subject to testing which applies to their limited exposure to Operating rules at the discretion of the Supervisor of Locomotive Engineers, as they are main-track prohibited and confined to servicing and yard tracks. Tracks equipped with derails the maximum speed is 5 mph, except tracks without derails at Western Ave. Coach Yard is 10 mph.

B. Continuing Education - 49 CFR Part 240.123(b)

Safety meetings, study guides and operational efficiency testing are used as methods for continuing education for all certified engineers. Safety meetings are used to address safety and rules issues relevant to Metra operations, and are held on a monthly basis.

Simulator

Train Engineer will be called in to operate a Type II simulator over a line segment with the minimum criteria, crossover moves at both low and high speed turnouts, movements made beyond a signal displaying a stop indication (restricted speed), station stop, grade crossing malfunctions, Roadway Worker Protection (i.e. discussion of track bulletin forms A, B, C and D) and Cab car stop at bumping post. The Train Engineer will be scored at the completion of each run.

New equipment and/or additions to existing equipment are covered in District Road Foreman's Notices, manufacturer's manuals or instruction booklets. The Office of the Supervisor of Locomotive Engineers will also hold periodic meetings that will review mechanical topics and operating practices. These meetings will include audio-visual presentations (slide, video, and computer graphics) as well as printed hand-outs.

The Supervisor of Locomotive Engineers, Assistant Supervisors of Locomotive Engineers and District Supervisors of Locomotive Engineers will provide periodic observation rides for Train Engineers for the purpose of assessment and on-going training.

SECTION 7 - ADMINISTRATION OF THE ENGINEER CERTIFICATION PROGRAM

Contact: Robert J. Tague

A. Administration of Locomotive Engineer Training and Certification Program and Records Maintenance

Program elements are itemized below:

1. Metra's Commuter Railroad Locomotive Engineer Training and Certification Program will be administered by the Director of Training and Certification.
2. The Supervisor of Locomotive Engineers will be responsible for the implementation of 49 CFR Part 240.
3. The office of the Director of Training and Certification is responsible for the maintenance of files on each locomotive engineer, servicing engineer, restricted engineer and student engineer. The office is also responsible for ensuring that vision and hearing acuity (49 CFR Part 240.121), plus drivers license checks are received prior to issuing initial certification or recertification.
4. The office of the Director of Training and Certification is responsible for issuing engineer licenses.
5. The office of the Director of Training and Certification is responsible for compliance with this program.
6. Metra's Human Resources Office of Drug and Alcohol Department maintains matters relating to substance abuse (49 CFR Part 240.119).
7. The Rules Department will be responsible for maintaining operational testing electronic files.

B. General Criteria for Eligibility Based on Prior Safety Conduct (49 CFR Part 240.109)

Metra will evaluate the prior safety conduct of any person considered for qualification as a locomotive engineer. Consideration will be given to relevant data from Metra records, any railroad previously employing the person and any governmental agency with pertinent motor vehicle driving records.

If it is determined that the candidate does not meet the eligibility requirements of 49 CFR Parts 240.115, 240.117 and 240.119, they will be considered ineligible.

SECTION 7 - continued

1. Prior safety conduct as a motor vehicle operator (49 CFR Part 240.115)

Motor vehicle driving records will be obtained and evaluated for incidents described in 49 CFR 240.115. If the records indicate any incident occurred within the time specified, the candidate will be referred to the Employee Assistance Program (EAP) /Substance Abuse Professional (SAP) counselor. The counselor must advise the Supervisor of Locomotive Engineers of the results of the EAP/SAP evaluation as it relates to certification eligibility.

2. Operating rules compliance (49 CFR Part 240.117)

An evaluation of operating rules compliance will be made by reviewing a candidate's work record. If the candidate was previously employed by another railroad, they must take necessary action to obtain a copy of his/her work record from the former railroad.

3. Substance abuse disorders (49 CFR Part 240.119)

Employees who are determined to have active substance abuse disorders will not be certified or allowed to remain certified.

a. On the Job Substance Abuse

Engineers engaged in on-the-job substance abuse will have their licenses suspended. The suspension will revert to a revocation for the minimum time specified by regulation when supported by a hearing. In the event of a co-worker or self-referral, the Train Engineer, Servicing Engineer or Student Engineer's license will be suspended promptly upon notification from the EAP/SAP Counselor. The license will be reinstated upon written notification of the EAP/SAP Counselor that the individual no longer has an active substance abuse problem.

b. Off the Job Substance Abuse

Upon receipt of notification of a conviction for operating a motor vehicle while under the influence of, or impaired by alcohol or a controlled substance, the Train Engineer, Servicing Engineer or Student Engineer involved will be ineligible to perform service as a locomotive engineer. The engineer will be referred to an EAP/SAP counselor. EAP/SAP counselor shall determine if the individual has an active substance abuse problem. If it is determined that the engineer has an active substance abuse problem, he or she will be ineligible to perform service as a locomotive engineer until the Supervisor of Locomotive Engineers is advised the engineer no longer has an active substance abuse problem. If it is determined that they do not have an active substance abuse problem, the person will be eligible to perform the duties of a locomotive engineer upon written notification by the EAP/SAP Counselor.

SECTION 7 - continued

C. Determinations required as a prerequisite to certification (49 CFR Part 240.203)

Certification candidates must meet the requirements of this program to be certified or re-certified.

D. Time limitations for making determinations (49 CFR Part 240.217)

Certification requirements must be met within time frames specified in 49 CFR 240.217:

Safety conduct record	366 days
Vision and Hearing acuity	366 days
Written knowledge test	366 days
Skills performance test	366 days
Reliance on another railroad	36 months
Issue license within	30 days of a decision to certify

The Supervisor of Locomotive Engineers or an Assistant Supervisor of Locomotive Engineers will verify that the necessary determinations have been made within the time limits before concluding that the candidate is qualified.

E. Denial of Certification (49 CFR Part 240.219)

When information is discovered which forms a basis for denying certification, the engineer will be advised in writing. If certification is subsequently denied, the engineer will be notified in writing within 10 days of that decision.

F. Reliance on qualification determination by another railroad (49 CFR Part 240.225)

When accepting the certification issued by another railroad, Metra will verify the validity of such license with the issuing railroad. Metra will require the engineer to complete a 20-week training program, described in Section 3, above.

G. Requirements for joint operations territory (49 CFR Part 240.229)

Metra will keep on file a listing of certified engineers for the purposes of joint operations as required by 49 CFR 240.221. The listing will be updated at least annually.

A Joint Operations Engineer loses his/her right to operate over Metra controlled trackage if they have not made a trip over the line segment(s) assigned to operate over in a six-month period.

SECTION 7 - continued

Metra will accept the operational performance monitoring of officers of Class 1 Railroads, Amtrak and other roads as designated by the Supervisor of Locomotive Engineers.

Metra reserves the right to review the certification and knowledge testing of Class II and short line railroads with Joint Operating Authority over Metra controlled trackage and will make a determination on an individual basis.

H. Replacement of Engineer License (49 CFR Part 240.301)

Metra Engineers will be required to carry their Engineer's License on their person at any time they are operating a locomotive or train.

Metra shall authorize its Engineers (Train/Servicing) to operate a train or locomotive for the remainder of his/her tour of duty without a license, by written authorization, in the event the license is lost, stolen, damaged or inappropriately taken by a law enforcement agency. This authority will be granted to the engineer by the Director or designee. The employee must furnish the district Director with his/her full name and employee number, along with the circumstances surrounding the missing license. This temporary authorization shall not exceed a 72-hour time period and a replacement license will be issued.

I. Revocation of Certification (49 CFR Part 240.307)

A review of an engineer's certification will be initiated promptly upon any occurrence of a violation of conduct described in 49 CFR 240.117(e). Certification will be suspended pending a hearing, which may be consolidated with a formal investigation required by collective bargaining agreement. An engineer who chooses to waive his or her rights to a formal investigation will also be allowed to waive the hearing required by 49 CFR 240.307.

J. Scheduling and Notification of Locomotive Engineers for Re-certification

Metra re-certifies its engineers every 36 months, plus an annual rules test. The re-certification process consists of hearing and vision testing, federal and state checks of driving records, and knowledge and skills testing. The re-certification testing schedule of individual engineers is based on the certification date of their present license and takes place in the quarter prior to the expiration of the present license.

Approximately 60 days prior to the scheduled date of the test the engineer will receive a package containing a study guide, the appropriate forms for driver's records, and the hearing and vision test form. The appropriate state Department of Motor Vehicle driving records must be obtained and submitted to the Training and Certification Department in advance of the scheduled testing date. Completed Federal forms are submitted by the Supervisor of Locomotive Engineers to the Federal Highway Traffic Safety Administration. The engineer must have his/her hearing and vision tested, with the completed form returned prior to the designated test date.